Approximation by Compact Operators between C(X) Spaces

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A closed subspace M of a Banach space E is said to be proximinal if every $a \in E$ admits a closest point in M, i.e., a point $x \in M$ for which ||a-x|| = d(a, M), the distance of a from M. Many authors have considered the problem of determining whether K(E, F), the space of compact operators from E to F, is proximinal in B(E, F), the corresponding space of bounded linear operators. We attempt to solve this problem for the case when E = C(X) and F = C(Y) are the usual function spaces over compact Hausdorff spaces X and Y. If Y is extremally disconnected, we can completely characterize those X for which K(C(X), C(Y)) is proximinal. Except where stated otherwise, our results are valid for both real and complex scalars.

In each case, we will establish proximinality of the compact operators by establishing the $1\frac{1}{2}$ -ball property. Recall that a subspace M has the $1\frac{1}{2}$ -ball property in E if, whenever $a \in E$, $r \ge 0$, ||a|| < r + 1 and the closed ball B(a, r) meets M, then $M \cap B(0, 1) \cap B(a, r)$ is non-empty. Every subspace with the $1\frac{1}{2}$ -ball property is proximinal, and even more is true.

PROPOSITION 1 [16, Theorem 1.2]. Suppose M has the $1\frac{1}{2}$ -hall property in E. Then there exists a continuous, homogeneous map $\Pi: E \to M$ satisfying $||x - \Pi(x)|| = d(x, M)$ and also $\Pi(x + m) = \Pi(x) + m$ whenever $m \in M$.

Proposition 1 generalizes the corresponding result for M-ideals [5]. A number of authors, including [1, 4, 10, 11, 12], have established proximinality of K(E, F), for suitable E and F, by showing that K(E, F) is an M-ideal in B(E, F). Rather than repeat the definition of M-ideals, we simply recall that every M-ideal has the $1\frac{1}{2}$ -ball property [17].

Before starting our work, we need the following two observations. They are well known and easy to prove.

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PROPOSITION 2. The map $T \mapsto T^* \mid F$ is a linear isometry from $B(E, F^*)$ onto $B(F, E^*)$ which sends $K(E, F^*)$ to $K(F, E^*)$.

PROPOSITION 3. Let M and N be the ranges of contractive projections on E and F, respectively. If K(E, F) is proximinal (or has the $1\frac{1}{2}$ -ball property) in B(E, F), then the same is true of K(M, N) in B(M, N).

Our first result actually concerns certain spaces of measurable functions. Case (iv) improves a result proved for real scalars by Lau [7, Theorem 6.4]. Case (i) is obviously a special case of (iv), and is stated separately only to streamline the proof.

THEOREM 4. In each of the following cases, K(E, F) has the $1\frac{1}{2}$ -ball property in B(E, F):

- (i) $E = l_1(\Lambda)$ and $F = l_1(\Gamma)$ for discrete sets Γ and Λ .
- (ii) $E^* = l_1(\Gamma)$ and F = C(Y), where Γ is discrete and Y is extremally disconnected.
- (iii) $E^* = l_1(\Gamma)$ and $F = L_{\times}(S, \mu)$, where Γ is discrete and (S, μ) is any measure space.
- (iv) $E = L_1(S, \mu)$ and $F = l_1(\Gamma)$, where (S, μ) is any measure space and Γ is discrete.
 - *Proof.* (i) This is a trivial generalization of [16, Proposition 2.8].
- (ii) If Y is the Stone-Čech compactification of some discrete set Γ , then $C(Y) = l_{\infty}(\Gamma)$, and the result follows from case (i) and Proposition 2. In general, the result follows from Proposition 3 and the fact that C(Y) is the range of a contractive projection on some $l_{\infty}(\Gamma)$ [6, Corollary 11.2].
- (iii) This is a special case of (ii). It is worth recalling that a Banach space is isometric to the range of a contractive projection on every superspace if and only if it is isometric to C(Y), for some extremally disconnected Y. Every space $L_{\mathcal{X}}(S, \mu)$ has this property. See [3; 6, Sect. 11].
 - (iv) This follows from Proposition 2 and case (iii).

Although the proof of [16, Proposition 2.8] was constructive, the proof of Theorem 4 is not.

Now we can give the promised results about spaces of continuous functions.

Theorem 5. If Y is extremally disconnected, then the following are equivalent:

(i) X is dispersed (i.e., every subset contains an isolated point)

- (ii) K(C(X), C(Y)) has the $1\frac{1}{2}$ -ball property in B(C(X), C(Y))
- (iii) K(C(X), C(Y)) is proximinal in B(C(X), C(Y)).

Proof. (i) \Rightarrow (ii). This follows from Theorem 4 and [6, Theorems 8.9 and 8.10].

- $(ii) \Rightarrow (iii)$. This is Proposition 1.
- (iii) \Rightarrow (i). Feder [2, Theorem 3] proved that $K(l_1, L_1(0, 1))$ is not proximinal in $B(l_1, L_1(0, 1))$. If X is not dispersed, then $L_1(0, 1)$ is isometric to the range of a contractive projection on $C(X)^*$ [6, Theorems 14.11 and 18.5]. Propositions 2 and 3 then show that $K(C(X), l_{\infty})$ is not proximinal in $B(C(X), l_{\infty})$. Since the Stone-Čech compactification of the integers is a continuous image of Y, l_{∞} is the range of a contractive projection on C(Y). Another application of Proposition 3 completes the proof.

It is natural to ask if these results hold without the assumption that Y is extremally disconnected. For the 1-point compactification of the integers, they do not.

EXAMPLE 6. If the scalars are complex, then $K(\mathscr{C})$ does not have the $1\frac{1}{3}$ -ball property in $B(\mathscr{C})$.

Proof. We follow the notation of Taylor [15, Sect. 4.51]. If $(\xi_1, \xi_2,...)$ is any sequence in \mathscr{C} , we let ξ_0 denote its limit. Each $A \in B(\mathscr{C})$ corresponds to an infinite matrix (a_{jk}) , where j = 1, 2, 3,... and k = 0, 1, 2,..., for which $\sum_{k=0}^{\infty} a_{jk}$ converges as $j \to \infty$, as does $(a_{jk})_{j \to \infty}$ for k = 1, 2, 3,... If $(\eta_n) = A(\xi_n)$ then, of course,

$$\eta_j = \sum_{k=0}^{\infty} a_{jk} \, \xi_k \quad \text{for} \quad j = 1, 2, 3,$$

The norm of A is given by

$$||A|| = \sup_{j=1}^{\infty} \sum_{k=0}^{\infty} |a_{jk}|,$$

but there is no simple formula for $d(A, K(\mathscr{C}))$.

Let $\{e, e_1, e_2,...\}$ be the usual basis for \mathscr{C} , where e = (1, 1, 1,...). Define $A: \mathscr{C} \to \mathscr{C}$ by

$$Ae_1 = \frac{1}{2}e - e_1, \qquad Ae_n = (-1)^n e_n$$

for $n \ge 2$ and $Ae = (i + \frac{1}{2})e$. It is routine to verify that ||A|| < 3 and that $K(\mathcal{C}) \cap B(A, 2)$ is non-empty. However,

$$K(\mathscr{C}) \cap B(A, 2) \cap B(0, 1) = \emptyset$$
.

To see this, suppose $T \in K(\mathscr{C}) \cap B(A, 2)$. Then

$$\sum_{k=0}^{\infty} |a_{jk} - t_{jk}| \leq 2$$

for all j, so

$$|i-1-t_{j0}|+|\frac{1}{2}-t_{j1}|+|1-t_{jj}| \le 2$$
 for j even

and

$$|i+1-t_{j0}|+|\frac{1}{2}-t_{j1}|+|-1-t_{jj}| \le 2$$
 for j odd, $j \ne 1$.

Let

$$t_1 = \lim_{j \to \infty} t_{j1}.$$

Since T is compact, $t_0 = \lim_{i \to \infty} t_{i0}$ exists, and also $\lim_{i \to \infty} t_{ii} = 0$. Thus

$$|i \pm 1 - t_0| + |\frac{1}{2} - t_1| \le 1.$$

This forces $t_0 = i$ and $t_1 = \frac{1}{2}$, so $T \notin B(0, 1)$.

The classical sequence space \mathscr{C} seems to have received no attention in the literature. Curiously, we have a positive result (with a constructive proof) if the scalars are real.

THEOREM 7. For real scalars, $K(\mathcal{C})$ does have the $1\frac{1}{2}$ -ball property in $B(\mathcal{C})$.

Proof. If $S = (s_{jk})$ has the property that, for some N, $s_{jk} = 0$ for all k > N, then S is a compact operator. Conversely, the set of operators with this property is dense in $K(\mathcal{C})$.

Now suppose we are given $A \in B(\mathscr{C})$ with ||A|| < r + 1 and $K(\mathscr{C}) \cap B(A, r) \neq \emptyset$, and choose ε so that $0 < \varepsilon < r + 1 - ||A||$. Then

$$\sum_{k=0}^{\gamma} |a_{jk}| \leqslant r + 1 - \varepsilon$$

for all j, and also $||A - S|| < r + \varepsilon$ for some S of the above form. We may also suppose that $s_{j0} = s$ for all but finitely many j.

Let

$$a_k = \lim_{j \to \infty} a_{jk},$$

for $1 \le k \le N$. Then choose M so that, if j > M, then $|a_k - a_{jk}| < \varepsilon/N$ and $s_{j0} = s$. Next, put

$$\sigma_j = \sum_{k > N} |a_{jk}|$$
 for all j ,

and

$$\sigma = \sum_{k=1}^{N} |a_k|.$$

We now have, for all j > M,

$$|a_{i0} - s| + \sigma_i \le ||A - S|| < r + \varepsilon \tag{1}$$

and

$$|a_{i0}| + \sigma + \sigma_i < r + 1. \tag{2}$$

There are two cases to consider, depending on the value of σ .

Case I. Suppose $\sigma \ge 1$. Then we find $n \le N$ and $\lambda \in [0, 1]$ so that

$$\sum_{k=1}^{n-1} |a_k| + \lambda |a_n| = 1.$$

Put

$$s_k = a_k$$
 for $1 \le k < n$, $s_n = \lambda a_n$

and

$$s_k = 0$$
 for $k > n$ or $k = 0$.

Then, for j > M,

$$|a_{j0} - s_0| + \sum_{k=1}^{N} |a_k - s_k| + \sigma_j = |a_{j0}| + \sum_{k=1}^{N} |a_k| - 1 + \sigma_j < r + \varepsilon.$$

Clearly

$$\sum_{k=0}^{N} |s_k| \leqslant 1.$$

Case II. Suppose $\sigma < 1$. This time, we put $s_k = a_k$ for $1 \le k \le N$. Choosing s_0 is a little more difficult. First note that, for all j > M, $b_j = r + \varepsilon - \sigma_j > 0$. From (2) it follows that $-a_{j0} \le r + 1 - \sigma - \sigma_j$ and so

$$-(1-\sigma) \leqslant a_{j0} + b_j.$$

Similarly $a_{i0} - b_i \le 1 - \sigma$ and so

$$\sup(\{a_{i0} - b_i : j > M\} \cup \{-(1 - \sigma)\}) \leq \inf(\{a_{i0} + b_i : j > M\} \cup \{1 - \sigma\}).$$

Hence we can find a real number s_0 satisfying

$$-(1-\sigma) \leqslant s_0 \leqslant 1-\sigma$$

and

$$a_{j0} - (r + \varepsilon - \sigma_j) \leq s_0 \leq a_{j0} + (r + \varepsilon - \sigma_j),$$

for all j > M. Then, as in the previous case, we have

$$|a_{j0} - s_0| + \sum_{k=1}^{N} |a_k - s_k| + \sigma_j = |a_{j0} - s_0| + \sigma_j \le r + \varepsilon$$

and

$$\sum_{k=0}^{N} |s_k| = |s_0| + \sigma \leqslant 1.$$

Now define $T = (t_{ik})$ by

$$t_{jk} = a_{jk}/(r+1)$$
 for $j \le M$,
 $t_{jk} = s_k$ for $j > M$ and $k \le N$,

and

$$t_{ik} = 0$$
 for $j > M$ and $k > N$.

Then the image of T lies in the linear span of $\{e, e_1, e_2, ..., e_M\}$, so T is compact. Clearly $||T|| \le 1$. Furthermore, for $j \le M$,

$$\sum_{k=0}^{\infty} |a_{jk} - t_{jk}| = \frac{r}{r+1} \sum_{k=0}^{\infty} |a_{jk}| \leqslant r,$$

and for j > M,

$$\sum_{k=0}^{\infty} |a_{jk} - t_{jk}| < |a_{j0} - s_0| + \sum_{k=1}^{N} |a_k - s_k| + \varepsilon + \sigma_j$$

$$\leq r + 2\varepsilon.$$

Thus $||T - A|| \le r + 2\varepsilon$.

We have now shown that

$$K(\mathscr{C}) \cap B(A, r+2\varepsilon) \cap B(0, 1)$$

is non-empty. By [17, Theorem 3] this establishes the $1\frac{1}{2}$ -ball property.

By severely restricting the domain space, we can completely dispense with the extremally disconnected assumption on the range space. To be precise, we can show that $K(\mathcal{C}_0, C(X))$ has the $1\frac{1}{2}$ -ball property in $B(\mathcal{C}_0, C(X))$, at least if the scalars are real. Before proving this, we discuss the difficulties that arise in the complex case.

If S is any metric space, let 2^s denote the collection of closed, bounded, non-empty subsets of S. It is standard to make 2^s into a metric space by giving it the Hausdorff metric, defined for $A, B \in 2^s$ by

$$d(A, B) = \sup\{ \{ d(x, A) : x \in B \} \cup \{ d(x, B) : x \in A \} \}.$$

If E is a Banach space and $f \in E$, let us define

$$\Psi = \Psi_f$$
: $[(\|f\| - 1)^+, \infty) \rightarrow 2^E$

by

$$\Psi(r) = B(0, 1) \cap B(f, r).$$

With the usual lack of imagination, we will say that E has property (P) if the family of maps $\{\Psi_f: f \in E\}$ is uniformly equicontinuous. Recall that E is said to have the 3.2 intersection property if, whenever B_1 , B_2 , B_3 are closed balls in E which meet pairwise, then

$$B_1 \cap B_2 \cap B_3 \neq \emptyset$$
.

If E has the 3.2 intersection property, it is easy to verify that

$$d(\Psi_f(r), \Psi_f(r+\varepsilon)) \leq \varepsilon.$$

Thus, the 3.2 intersection property implies (P). It follows [9, Theorem 4.6(c)] that the real Banach space l_1 has (P).

Conjecture 8. The complex Banach space l_1 has property (P).

This ideal is crucial in the proof of the next theorem. We have been unable to determine whether Conjecture 8 is true or false.

Assuming property (P) for l_1 , we will show that $K(\mathscr{C}_0, C(X))$ has the l_2^1 -ball property in $B(\mathscr{C}_0, C(X))$ for any compact Hausdorff space X. Since l_1 is the dual of \mathscr{C}_0 , we may identify $B(\mathscr{C}_0, C(X))$ with the sup-normed space $CW^*(X, l_1)$ of weak* continuous maps $f: X \to l_1$, and $K(\mathscr{C}_0, C(X))$ with the subspace $C(X, l_1)$ of norm continuous maps. The identification is the obvious one, given by

$$(Ta)(x) = f(x)(a)$$
 for all $a \in \mathcal{C}_0, x \in X$

and $T: \mathscr{C}_0 \to C(X)$.

Now fix $f \in CW^*(X, l_1)$ and put

$$d(x) = \limsup_{y \to x} ||f(y) - f(x)||.$$

Replacing f with f-g, where $g \in C(X, l_1)$, leaves the value of d(x) unaltered. The idea of introducing $d(\cdot)$ is due to Mach [11], who used similar techniques to prove the proximinality of $K(\mathcal{C}_0, C(X))$, for either scalar field.

LEMMA 9. If
$$x, y \in l_1 = \mathcal{C}_0^*$$
 and $x_a \to 0$ weak*, then

$$||x_{\alpha} + y|| - ||x_{\gamma}|| \to ||y||$$
.

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Proof. For any $A \subset \mathbb{N}$ we have

$$| \, \| x_{\alpha} + y \| - \| x_{\alpha} \| - \| \, y \| \, | \leq \sum_{n \in A} 2 \, |x_{\alpha}(n)| + \sum_{n \notin A} 2 \, |y(n)|.$$

A routine truncation argument completes the proof.

If we regard l_1 as the dual of some other Banach space, such as \mathscr{C} , then Lemma 9 does not hold.

LEMMA 10. Let f, d be as above and fix $x \in X$. Then

(i) for any $y \in X$,

$$\lim_{z \to v} \sup \|f(z) - f(x)\| = \|f(y) - f(x)\| + d(y).$$

(ii) for any $y \in X$,

$$\lim_{z \to x} \sup \|f(z)\| = \|f(y)\| + d(y).$$

(iii)
$$d(x) = \lim_{y \to x} \sup(\|f(x) - f(y)\| + d(y)).$$

(iv) for any $g \in C(X, l_1)$,

$$||f(x) - g(x)|| + d(x) \le ||f - g||.$$

Proof. (i) Since f is weak *-continuous, the previous lemma gives

$$\lim_{z \to y} \sup \|f(z) - f(x)\| = \lim_{z \to y} (\|f(z) - f(x)\| - \|f(z) - f(y)\|)$$

$$+ \lim_{z \to y} \sup \|f(z) - f(y)\|$$

$$= \|f(y) - f(x)\| + d(y).$$

- (ii) The constant function g = f(x) certainly lies in $C(X, l_1)$. Replace f by f g in (i).
 - (iii) From the definition of $d(\cdot)$, and (i), we have

$$d(x) \le \limsup_{y \to x} (\|f(x) - f(y)\| + d(y))$$

$$= \limsup_{y \to x} \limsup_{z \to y} \|f(z) - f(x)\|$$

$$\le \limsup_{z \to x} \|f(z) - f(x)\| = d(x).$$

(iv) Assume without loss of generality that g = 0. Then, by (ii),

$$||f(x)|| + d(x) = \limsup_{y \to x} ||f(y)|| \le ||f||.$$

THEOREM 11. Let X be any compact Hausdorff space. Then $K(\mathcal{C}_0, C(X))$ has the $1\frac{1}{2}$ -ball property in $B(\mathcal{C}_0, C(X))$ if the scalars are real, or if Conjecture 8 is true.

Proof. Suppose that $C(X, l_1) \cap B(f, r) \neq \emptyset$ and $||f|| \le r + 1$. We must show that

 $C(X, l_1) \cap B(0, 1) \cap B(f, r) \neq \emptyset$.

The last part of Lemma 10, with $g \in C(X, l_1) \cap B(f, r)$, shows that $r \ge d(x)$ for all $x \in X$. With g = 0 it shows that

$$|| f(x) || \le r + 1 - d(x),$$

for each x. Thus we may define $\Psi: X \to 2^{l_1}$ by

$$\Psi(x) = B(0, 1) \cap B(f(x), r - d(x)).$$

Clearly each $\Psi(x)$ is closed, convex, and non-empty; we claim that Ψ is lower semicontinuous. This means that if K is any closed subset of l_1 , we have to show that $\{x: \Psi(x) \subseteq K\}$ is closed.

Suppose then that $x_{\alpha} \to x$ in X, and that each $\Psi(x_{\alpha}) \subseteq K$. Choose $a \in \Psi(x)$ and put

$$\lambda_{\alpha} = \|a - f(x_{\alpha})\| + d(x_{\alpha}) - r.$$

By Lemma 10(iii)

$$\limsup \lambda_{\alpha} \leqslant ||a - f(x)|| + d(x) - r \leqslant 0.$$

Hence $\varepsilon_{\alpha} = \max\{\lambda_{\alpha}, 0\} \to 0$ and also

$$||a-f(x_\alpha)|| = r - d(x_\alpha) + \hat{\lambda}_\alpha \leq r - d(x_\alpha) + \varepsilon_\alpha$$

and $||a|| \le 1$. Let

$$\delta(\varepsilon) = \sup \{ d(B(0, 1) \cap B(g, s), B(0, 1) \cap B(g, s + \varepsilon)) : g \in l_1, \\ s > 0, ||g|| \le s + 1 \}.$$

Assuming l_1 has property (P), we have $\delta(\varepsilon) \to 0$ as $\varepsilon \to 0$. Thus, from the definition of $\delta(\varepsilon)$, we can find a_{α} with $||a_{\alpha}|| \le 1$,

$$||a_{\alpha}-f(x_{\alpha})|| \leq r - d(x_{\alpha})$$

and $||a-a_{\alpha}|| \leq \delta(\varepsilon_{\alpha})$. Then

$$a_{\alpha} \in \Psi(x_{\alpha}) \subseteq K$$

and $a_x \to a$. This proves that $\Psi(x) \subseteq K$. Michael's theorem [14] now gives us a continuous selection for Ψ , which clearly belongs to

$$C(X, l_1) \cap B(0, 1) \cap B(f, r)$$
.

To show that the preceding examples are not M-ideals, first note that there is a function $f \in CW^*(X, l_1)$ whose range contains the standard basis $\{e_1, e_2, ...\}$. This is easy to see if X contains a convergent sequence of distinct points. For the general case, recall that every compact space can be mapped onto a Hausdorff space which contains a convergent sequence.

Choose $x_n \in X$ so that $f(x_n) = e_n$, and let LIM $\in l_{\infty}^*$ be any Banach limit. We define two functionals Ψ , $\phi \in CW^*(X, l_1)^*$ by

$$\Psi(g) = \underset{n}{\text{LIM}} g_1(x_n)$$
 and $\phi(g) = \underset{n}{\text{LIM}} \{g_1(x_n) + g_n(x_n)\}.$

It is clear that $\|\Psi\| \le 1$, $\|\phi\| \le 1$ and that $\Psi(f) = 0 \ne 1 = \phi(f)$. If $g \in C(X, I_1)$ then g(X) is norm compact in I_1 , and so $g_n(x) \to 0$ (as $n \to \infty$) uniformly with respect to $x \in X$. It follows that

$$\Psi \mid C(X, l_1) = \phi \mid C(X, l_1) = \eta,$$

say. If $g \in C(X, l_1)$ is the constant function $g(x) = e_1$ then ||g|| = n(g) = 1. Thus ϕ and Ψ are two distinct norm-preserving extensions of η .

So $K(\mathscr{C}_0, C(X))$ does not have the unique extension property in $B(\mathscr{C}_0, C(X))$. It follows [17, Theorem 4] that $K(\mathscr{C}_0, C(X))$ is not an M-ideal in $B(\mathscr{C}_0, C(X))$.

The following result provides some evidence that Theorem 11 may be true for both scalar fields.

PROPOSITION 12. For either scalar field, $K(\mathcal{C}_0, \mathcal{C})$ has the $1\frac{1}{2}$ -ball property in $B(\mathcal{C}_0, \mathcal{C})$.

Proof. Again following [15], any $A \in B(\mathcal{C}_0, \mathcal{C})$ corresponds to an infinite matrix (a_{jk}) , where j = 1, 2, 3,... and k = 1, 2, 3... Imitating the proof of Theorem 7, we find that some simplifications are caused by the absence of zeroth columns in elements of $B(\mathcal{C}_0, \mathcal{C})$. In particular, it is not necessary to define s_0 . Doing so, in Case II of the previous proof, was the only point at which the scalars were required to be real.

We recall that for any Banach space E, $K(E, \mathcal{C}_0)$ is actually an M-ideal in $B(E, \mathcal{C}_0)$. This was observed independently by several authors [8, 12, 16]. To see how special the role of \mathcal{C}_0 is in this result, we note that $K(L_p(S, \mu), C(X))$ fails the $1\frac{1}{2}$ -ball property in $B(L_p(S, \mu), C(X))$, whenever $L_p(S, \mu)$ and C(X) are infinite dimensional, and 1 . By Proposition 3, and the remarks preceding Lemma 9, it suffices to show that

 $C(X, l_p)$ fails the $1\frac{1}{2}$ -ball property in $CW^*(X, l_p)$. This follows from a generalization of the argument of [16, p. 296].

We finish with another negative result.

PROPOSITION 13. Suppose X and Y both contain uncountable, metrizable, closed subsets. Then K(C(X), C(Y)) is not proximinal in B(C(X), C(Y)).

Proof. Benyamini [2, Appendix] proved this in the case X = Y = [0, 1]. If [0, 1] is replaced by the Cantor set, Z, throughout the proof, it works just as well. By the Borsuk-Dugundji extension theorem [13, Sect. 7], the result holds whenever X and Y contain homeomorphic copies of Z. But every uncountable compact metric space contains a copy of Z (this follows from the Cantor-Bendixson theorem and a standard argument).

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